

## CHAPTER 2

### SECTION 2

# SUBJECT, DESCRIPTION, INDEXING, CATEGORY NUMBER, DISPOSITION AUTHORITY, AND STORAGE LOCATION OF GOVERNMENT RECORDS

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## 1.0. GENERAL

The following records shall be maintained by all contractors. If this section does not contain a description of a file created by the contractor for the government, contact the TRICARE Management Activity (TMA) Records Management Officer for instructions. Where the contractor's discretion is indicated, the contractor may elect a system that best facilitates their operations. Where not indicated, the contractor shall follow the stated requirement. The records shall be categorized and maintained in accordance with the following instructions:

### 1.1. Office General Management Files

<b>Description:</b>	Correspondence from external sources which does not compromise a record in any of the categories described below. This documentation may provide information for evidentiary or administrative purposes and includes contractor internal audits, transaction listings, analysis of payment errors, claims control, edit input transactions, aging or open claims pending, Certificates of Destruction, etc. NOTE: This excludes correspondence related to specific pending or processed claims.
<b>Indexing:</b>	Contractor's Discretion.
<b>Category No.:</b>	101-01
<b>Storage Media:</b>	Paper.
<b>Disposition Instructions:</b>	Destroy after one year or upon discontinuance, whichever is first, or as directed by TMA.
<b>Storage Location:</b>	Contractor.

### 1.2. Record Locator Files

<b>Description:</b>	Documents used to locate files in the current files area, records holding area or records center. Included are retained copies of the records shipment transmittal sheets with backup.
<b>Indexing:</b>	Contractor's Discretion.
<b>Category No.:</b>	101-05
<b>Storage Media:</b>	Paper.
<b>Disposition Instructions:</b>	Destroy documents when records reflected have been destroyed, or as directed by TMA.

**Storage Location:** Contractor.

**1.3. Informational Records Files (Non-Record Material)**

**Description:** Documents not required as supporting documentation of a TRICARE claim or health care service. Included are: administrative memoranda, courtesy copies of correspondence, copies of correspondence which are circulated for informational purposes only, papers, drafts, stenographic notebooks, tape or wire recordings, feeder reports which are transcribed to basic data reports, temporary or interim material, and other data used to prepare record material.

**Indexing:** Contractor's Discretion.

**Category No.:** 102-15

**Storage Media:** Contractor's Discretion.

**Disposition Instructions:** Destroy within 90 days after it has served the purpose for which it was collected, or as directed by TMA.

**Storage Location:** Contractor.

**1.4. Congressional Correspondence**

**Description:** Inquiries received directly by the contractor from congressional offices and the contractor's reply.

**Indexing:** Alphabetically by case name (beneficiary, provider, or institution) within contract region.

**Category No.:** 102-18

**Storage Media:** Paper.

**Disposition Instructions:** Close at end of calendar year in which response was completed.

Hold one year, then transfer to Federal Records Center (FRC). The FRC will destroy when seven years old.

**Storage Location:** FRC.

**1.5. Recoupment Files**

**Description:** Documents relating to specific recoupment cases.

**Indexing:** Alphabetically by case name (beneficiary/sponsor/requester, provider, etc.) within contract region.

**Category No.:** 911-07

**Storage Media:** Paper.

**Disposition Instructions:** Close at the end of the calendar year in which final action was completed. Hold one year, then transfer to FRC. The FRC will destroy when six years old.

**Storage Location:** FRC.

**1.6. Administrative Files**

**Description:** Documents relating to the overall or general routine administration, but exclusive of specific records described elsewhere in this chapter. Included are: TMA, DoD or GAO audit reports on an contractor's performance, administrative costs, benefit payments or any other issue including related correspondence; routine comments on instructions, directives or other publications prepared by another office, e.g., comments on coordinated drafts of manual instructions; evaluations of suggestions that do not result in issuing an instruction; management improvement reports; cost reduction information; travel arrangements; internal security arrangements; and administrative reports.

**Indexing:** Contractor's Discretion.

**Category No.:** 103-08

**Storage Media:** Paper.

**Disposition Instructions:** Destroy after two years or upon discontinuance, whichever is first, or as directed by TMA.

**Storage Location:** Contractor.

**1.7. Abortion Claim Files**

**Description:** Documents required during the processing of abortion claims.

**Indexing:** Sequentially by internal control number order within contract region.

**Category No.:** 911-01

**Storage Media:** Paper, microfilm, electronic or optical disc.

**Disposition Instructions:** Paper (records that have been microfilmed or imaged) - Destroy paper upon verification of microfilm, imaging or as directed by TMA.

Microfilm, optical disc or electronic media - Close at end of the calendar year in which created; hold six additional years.

**Storage Location:** Contractor.

**1.8. Adjusted Claims**

**Description:** Records which are acquired or utilized in the development and processing of adjusted claims.

**Indexing:** Sequentially by internal control number order within contract region.

**Category No.:** 911-01

**Storage Media:** Paper, microfilm, electronic or optical disc.

**Disposition Instructions:** Paper (records that have been microfilmed or imaged). Destroy paper upon verification of microfilm, imaging or as directed by TMA.

Microfilm, optical disc or electronic media. Close at end of the calendar year in which created; hold six additional years.

**Storage Location:** Contractor.

#### 1.9. Beneficiary History And Deductible Files

**Description:** Computer generated records reflecting the contractor's processing of claims and health care services.

**Indexing:** Numerically by sponsor's SSN.

**Category No.:** 911-01

**Storage Media:** Electronic.

**Disposition Instructions:** Close at end of the calendar year in which created; hold six additional years.

**Storage Location:** Contractor.

#### 1.10. Preauthorization/Authorization Files

**Description:** Consists of preauthorization/authorization forms (and supporting documentation of Utilization Review for medically necessary and appropriate care) issued by TMA or the contractor.

**Indexing:** Sequentially by sponsor's SSN within contract region.

**Category No.:** 911-01

**Storage Media:** Paper, microfilm, electronic or optical disc

**Disposition Instructions:** Paper (records that have been microfilmed or imaged). Destroy paper upon verification of microfilm, imaging or as directed by TMA.

Microfilm, optical disc or electronic media. Close at end of the calendar year in which authorization expires; hold six additional years.

**Storage Location:** Contractor.

**1.11. TRICARE Contractor Claims Records**

<b>Description:</b>	Any record acquired or used by the contractor in the development and processing of claims. These records include but are not limited to: claims (TRICARE claims or other forms approved by the TMA); and supporting documentation i.e., receipts (itemized statements); medical reports (operative or daily nursing notes, lab results, etc.); authorization forms; certifications of eligibility; double coverage information; completed subrogation forms, certification of emergency statements; powers of attorney or statements of legal guardianship; claim development documentation; includes development documentation maintained on an electronic record, i.e., "notepad" and correspondence and other comparable documentation which result in or support specific claim processing and payment determinations.
<b>Indexing:</b>	Sequentially by internal control number within contract region.
<b>Category No.:</b>	911-01
<b>Storage Media:</b>	Paper, microfilm, electronic or optical disc.
<b>Disposition Instructions:</b>	Paper (records that have been microfilmed or imaged). Destroy paper upon verification of microfilm, imaging or as directed by TMA.  Microfilm, optical disc or electronic media. Close out at end of the calendar year in which created; hold six additional years.
<b>Storage Location:</b>	Contractor.

**1.12. Mental Health Case Files**

<b>Description:</b>	These files consist of all documents required in the processing of mental health claims. This category includes cases which have gone to peer review or have been denied at the contractor level. Peer reviews and all associated papers should be filed in the case file, not kept separate.
<b>Indexing:</b>	Alphabetically by case name (beneficiary - last name) by state within contract region.
<b>Category No.:</b>	911-01
<b>Storage Media:</b>	Paper, microfilm, imaging.
<b>Disposition Instructions:</b>	Paper records that have not been microfilmed or imaged. Close at end of calendar year in which final action was taken. Hold one year, then transfer to the Federal Records Center (FRC). The FRC will destroy when six years old.  Paper records that have been microfilmed or imaged. Destroy paper upon verification of microfilm, imaging or as directed by TMA.  Microfilm, imaging. Close out at end of the calendar year in which created; hold six additional years.

**Storage Location:** Contractor or FRC.

**1.13. Provider File**

**Description:** Computer or manually generated records and supporting documents which are used in establishing and documenting a provider as authorized to provide services or supplies under TRICARE. Included are the Partnership, resource sharing, and network agreements, sanction documents, provider signature on file, and provider power of attorney.

**Indexing:** Tax identification number or alphabetically by provider name.

**Category:** 911-01

**Storage Media:** Paper or electronic.

**Disposition Instructions:** Close at end of calendar year in which provider is no longer authorized. Destroy when six years old.

**Storage Location:** Contractor.

**1.14. Reimbursement File Records**

**Description:** Computer or manually generated data and all supporting documents which the contractor uses in determining the payment to beneficiaries or providers. Included are all special rate agreements.

**Indexing:** Contractor's discretion.

**Category No.:** 911-01

**Storage Media:** Paper or electronic.

**Disposition Instructions:** Close at end of the calendar year in which created. Destroy when seven years old.

**Storage Location:** Contractor.

**1.15. Third Party Liability Case Records**

**Description:** Documents relating to a third party liability cases.

**Indexing:** Alphabetically by sponsor's last name or by sponsor's SSN within contract region.

**Category No.:** 911-01

**Storage Media:** Paper.

**Disposition Instructions:** Close at end of calendar year in which response was completed. Hold one year, then transfer to FRC. The FRC will destroy when six years old.

**Storage Location:** FRC.

**1.16. TRICARE Benefit Check Records**

**Description:** Checks paid to beneficiaries or sponsors and providers, and any relevant records to include check vouchers, registers, and canceled or voided checks resulting from nonreceipt, loss, theft, or nondelivery.

**Indexing:** Sequentially by check number order, by month processed through the bank (cancelled or voided) within contract region.

**Category No.:** 911-02

**Storage Media:** Paper.

**Disposition Instructions:** Close at the end of the calendar year in which either processed through the bank (cancelled or voided). Hold one year, then transfer to the FRC. The FRC will destroy when six years old.

**Storage Location:** FRC.

**1.17. Explanation Of Benefits Records (EOB)**

**Description:** Explanation of Benefit (EOB) notices used to advise beneficiaries or sponsors or providers of the action taken on TRICARE claims.

**Indexing:** Internal control number within contract region.

**Category:** 911-03

**Storage Media:** Paper, microfilm, electronic or optical disc.

**Disposition Instructions:** Paper (records that have been microfilmed or imaged). Destroy paper upon verification of microfilm, imaging or as directed by TMA.

Microfilm, optical disc or electronic media. Close out at end of the calendar year in which created; hold six additional years.

**Storage Location:** Contractor.

**1.18. Grievance Case Records**

**Description:** Beneficiary's written grievance report, the record of the contractor's review and findings, the response to the aggrieved party and, where appropriate, the record of corrective action taken.

**Indexing:** Alphabetically by beneficiary name within contract region.

**Category No.:** 911-11

**Storage Media:** Paper.

**Disposition Instructions:** Close at the end of the calendar year in which case is closed. Hold one year, then transfer to the FRC. The FRC will destroy when six years old.

**Storage Location:** FRC.

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**1.19. Managed Care And Records Of Case Management (Medical Care Authorization Files)**

**Description:** Files associated with Utilization Management and/or Utilization Review care process and procedures. Included are Health Care Finder Sheets generated as part of the authorization process involving beneficiaries and providers and Case Management Files consisting of patient treatment authorizations and associated records of critical care, complex treatment or long term rehabilitation.

**Indexing:** Alphabetically by beneficiary's last name or by sponsor's SSN within contract region.

**Category No.:** 911-01

**Storage Media:** Paper.

**Disposition Instructions:** Close at the end of the calendar year in which final action was completed. Hold one year, then transfer to the FRC. The FRC will destroy when six years old.

**Storage Location:** FRC.

**1.20. Appeals And Hearings Case Records - TRICARE**

**Description:** Claimant requests for reconsiderations, written statements or evidence, medical records pertaining to the claims under appeal, notices of review decision and other papers resulting from the appeals process.

**Indexing:** Alphabetically by beneficiary name within contract region.

**Category No.:** 911-04

**Storage Media:** Paper.

**Disposition Instructions:** Close at end of calendar year in which response was completed. Hold one year, then transfer to FRC. FRC will destroy when six years old.

**Storage Location:** FRC.

**1.21. Contractor And Subcontractor Files**

**Description:** Contractor agreements with subcontractors, leases for building space, equipment, consulting, and other services. Included are TMA approvals, amendments, and similar documents.

**Indexing:** Contractor's discretion.

**Category No.:** 911-05

**Storage Media:** Paper.

**Disposition Instructions:** Close at the end of the calendar year in which completed. Hold one year. Then transfer to the FRC. The FRC will destroy when five years old.

**Storage Location:** FRC.



**1.22. Fraud And Abuse Files**

**Description:** Documents relating to specific fraud and abuse cases.

**Indexing:** Alphabetically by case name (beneficiary/sponsor/requester, provider, etc.) within contract region.

**Category No.:** 911-08

**Storage Media:** Paper.

**Disposition Instructions:** Place in inactive file upon completion of the final action. Cutoff inactive file at the end of the calendar or fiscal year in which final action was taken. Hold one year and transfer to the FRC. The FRC will destroy when six years old.

**Storage Location:** FRC.

**1.23. Health Care Service Record**

**Description:** Health care service records submitted in the specified ADP format. These records are to be retained for the current and one additional year.

**Indexing:** Contractor's discretion.

**Category No.:** 101-01

**Storage Media:** Electronic.

**Disposition Instructions:** Destroy after one year or upon discontinuance, whichever is first, or as directed by TMA.

**Storage Location:** Contractor.

**1.24. Enrollment Files**

**Description:** Computer or manually generated records and all supporting documents which the contractor uses in the enrollment process

**Indexing:** Sponsor's Social Security Number

**Category No.:** 911-01

**Storage Media:** Paper, microfilm electronic or optical disc.

**Disposition Instructions:** Paper (records that have been microfilmed or imaged) - Destroy paper upon verification of microfilm, imaging or as directed by TMA.

Microfilm, optical disc or electronic media - Close out at end of the calendar year in which created; hold six additional years.

**Storage Location:** FRC.

**1.25. Accounting Files**

**Description:** Bank analysis reports, accounts receivable reports, unable to adjust remittances and letters of credit reports.

**Indexing:** Contractor's discretion.

**Category No.:** 206-09

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<b>Storage Media:</b>	Paper.
<b>Disposition</b>	Close at the end of the calendar year in which completed.
<b>Instructions:</b>	Destroy six years, three months after contract close out, or as directed by TMA.
<b>Storage Location:</b>	Contractor.

## **2.0. MACHINE READABLE RECORDS**

Files are maintained the same length of time as the records to which they relate. Included is all documentation of the systems and programs by which these records are maintained and generated. Example: Claims history files are kept six years same as hardcopy records. Documents required in addition to actual machine-readable records include the following:

### **2.1. Master Files**

These files constitute the definitive state of a data file in a system at a given time. Such files are categorized herein only partly on the basis of subject content. Other important considerations regarding disposition are the format of the data file and the manner in which it is updated. Such variables influence the informational value of a file.

### **2.2. Processing Files**

Those machine-readable files, aside from master files, which comprise the life cycle of most computerized records prior to the production of a given master file. Processing files, from work files and input or source files to some valid transaction files, are employed to create and use a master file. They are presented here separately from master files for the sake of clarity and because they generally do not qualify for long-term retention.

### **2.3. Documentation**

Data systems documentation are those records required for servicing machine-readable records, i.e., for converting from human-readable information to encoded data and vice versa. These are an organized series of descriptive documents required to initiate, develop, operate and maintain specific applications of ADP systems. The disposition of documentation is linked to the disposition of the related ADP system and the machine readable files. These files must be accessible to the Government upon request.

## **3.0. DISPOSITION INSTRUCTIONS**

3.1. Disposition instructions and retention periods for TRICARE records are published in the DoD AI-15.

3.2. The retention period begins at the date the record is closed, unless otherwise indicated. The periods of retention normally shall be accomplished as shown in the following paragraphs. These retention periods have been established in accordance with records management regulations approved by the Archivist of the United States. Recommendations for changes to retention periods and disposition procedures shall be submitted to the TMA Records Management Officer for approval.

**3.2.1. Records With One-Month Retention**

Records having a retention period of one month or 30 days shall be cut off at the end of the month, held one month in the current files area, and then destroyed. Example: Cut off April 30, 1996, Destroy June 1996.

**3.2.2. Records With Three-Months Retention**

Records having a retention period of three months or 90 days shall be cut off at the end of each quarter, held three months in the current files area, and then destroyed. Example: Cut off June 30, 1996, Destroy October 1996.

**3.2.3. Records With One-Year Retention**

Records having a retention period of one year shall be cut off at the end of the calendar year, held one additional year in the current files area, and then destroyed. Example: Cut off December 31, 2000, Destroy January 2001.

**3.2.4. Records With Two To Ten-Year Retention**

Records having retention periods of two to ten years shall be cut off at the end of the calendar year; held one year after cutoff in the current files area, and then maintained, transferred or destroyed as specified. Example: six years cut-off December 2000, destroy January 2007.

